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PTO/SB/21 (6-98)  
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# TRANSMITTAL FORM

(to be used for all correspondence after initial filing)

Application Number

09/965,071

Filing Date

9/27/2001

First Named Inventor

Terrance Sick

RECEIVED

Group Art Unit

2171

DEC 14 2001

Examiner Name

Technology Center 2100

Total Number of Pages in This Submission

4+

Attorney Docket Number

2000-05

## ENCLOSURES (check all that apply)

<input type="checkbox"/> Fee Transmittal Form <input type="checkbox"/> Fee Attached	<input type="checkbox"/> Assignment Papers (for an Application) <input type="checkbox"/> Drawing(s)	<input type="checkbox"/> After Allowance Communication to Group <input type="checkbox"/> Appeal Communication to Board of Appeals and Interferences
<input type="checkbox"/> Amendment / Response <input type="checkbox"/> After Final <input type="checkbox"/> Affidavits/declaration(s)	<input type="checkbox"/> Licensing-related Papers <input type="checkbox"/> Petition Routing Slip (PTO/SB/69) and Accompanying Petition <input type="checkbox"/> Petition to Convert to a Provisional Application <input type="checkbox"/> Power of Attorney, Revocation Change of Correspondence Address	<input type="checkbox"/> Appeal Communication to Group (Appeal Notice, Brief, Reply Brief) <input type="checkbox"/> Proprietary Information <input type="checkbox"/> Status Letter <input checked="" type="checkbox"/> Additional Enclosure(s) (please identify below):
<input type="checkbox"/> Extension of Time Request	<input type="checkbox"/> Terminal Disclaimer	<input type="checkbox"/> Information Disclosure Statement Transmittal <input type="checkbox"/> Transmittal Form <input type="checkbox"/> Certificate of Mailing <input type="checkbox"/> Copy of Cited Reference (s) <input type="checkbox"/> Return Postcard
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<input type="checkbox"/> Certified Copy of Priority Document(s)		
<input type="checkbox"/> Response to Missing Parts/Incomplete Application		
<input type="checkbox"/> Response to Missing Parts under 37 CFR 1.52 or 1.53		

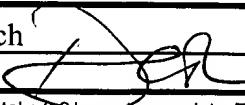
Remarks: Enclosed herewith is the Information Disclosure Statement for the above-referenced application as well as the cited reference (s).

## SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT

Firm or Individual name	Duane C. Basch; Greenwald & Basch LLP
Signature	
Date	11/29/2001

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GP-2171 #2  
12.19.01

PTO/SB92 (08-00)

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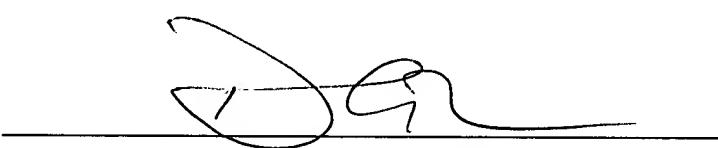
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IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

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Patent and Trademark Office  
application of: Terrance Sick et al.

DEC 14 2001

Application No.: 09/965,071  
Filed: 9/27/2001Group No.: 2171  
Examiner:

Technology Center 2100

For: "Computer-Based System and Method for Searching and Screening Financial Securities and Relevant Intellectual Property"

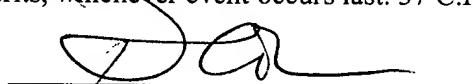
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Washington, D.C. 20231

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WITHIN THREE MONTHS OF FILING OR  
BEFORE MAILING OF FIRST OFFICE ACTION (37 C.F.R. section 1.97(b))**

**IDENTIFICATION OF TIME OF FILING THE ACCOMPANYING  
INFORMATION DISCLOSURE STATEMENT**

The information disclosure statement submitted herewith is being filed within three months of the filing date of the application or date of entry into the national stage of an international application or before the mailing date of a first Office action on the merits, whichever event occurs last. 37 C.F.R. section 1.97(b).

Date: 11/29/2001



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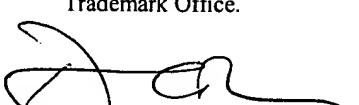
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Substitute for form 1449A/PTO

## **INFORMATION DISCLOSURE STATEMENT BY APPLICANT**

*(use as many sheets as necessary)*

Sheet 1 of 1

<i>Complet if Known</i>	
<b>Application Number</b>	09/965,071
<b>Filing Date</b>	09/27/2001
<b>First Named Inventor</b>	Terrance Sick
<b>Group Art Unit</b>	2171
<b>Examiner Name</b>	
<b>Attorney Docket Number</b>	2000-05

## U.S. PATENT DOCUMENTS

RECEIVED

DEC 14 2001

## Technology Center 2100

## FOREIGN PATENT DOCUMENTS

Examiner Signature		Date Considered	
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<sup>1</sup> Unique citation designation number. <sup>2</sup> See attached Kinds of U.S. Patent Documents. <sup>3</sup> Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). <sup>4</sup> For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. <sup>5</sup> Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST. 16 if possible. <sup>6</sup> Applicant is to place a check mark here if English language Translation is attached.

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Sheet 2 of 1

C mpt If Known	
Application Number	09/965,071
Filing Date	09/27/2001
First Named Inventor	Terrance Sick
Group Art Unit	2171
Examiner Name	
Attorney Docket Number	2000-05

**OTHER PRIOR ART - NON PATENT LITERATURE DOCUMENTS**

Examiner  
Initials:

2

ART. 1 NON-PATENT LITERATURE DOCUMENTS  
Name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.

T2

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